

EXHIBIT B

Mailed on February 28, 2001
Express Mail No. EL597940815US

5578

Enclosed are:

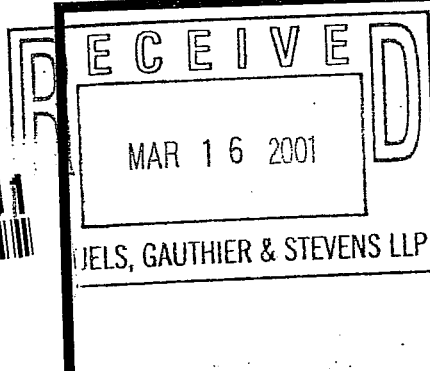
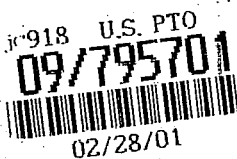
- 1) Patent Application of Robert E. Rafferty
METER BOX LOCK ASSEMBLY
#Pgs: Spec. 8/, Clms. 2/, Abst. 1/, Dwgs. 5/.
- 2) New Application Transmittal

This Paper Was
Received By PTO On:

Was
by PTO On:

PLEASE PROVIDE US WITH
SERIAL NO. AND FILING DATE

MEG/ead



POST OFFICE TO ADDRESSEE



EL597940815US

SEE REVERSE SIDE FOR
SERVICE GUARANTEE AND LIMITS
ON INSURANCE COVERAGE

Customer Copy
Label 11-F July 1997

ORIGIN (POSTAL USE ONLY)		
O ZIP Code 02110	Day of Delivery <input checked="" type="checkbox"/> First <input type="checkbox"/> Second	Flat Rate Envelope <input type="checkbox"/>
Date of Delivery 2/28/01	Time of Delivery <input checked="" type="checkbox"/> 12 Noon <input type="checkbox"/> 3 PM	Postage \$17.25
Mode of Delivery AM <input checked="" type="checkbox"/> PM <input type="checkbox"/>	Military <input type="checkbox"/> 2nd Day <input type="checkbox"/> 3rd Day	Return Receipt Fee \$0.00
Weight 5 lbs 0 oz	Int'l Alpha Country Code	COD Fee <input type="checkbox"/> Insurance Fee <input type="checkbox"/>
Acceptance Clerk Initials MEG	Total Postage & Fees \$17.25	

CUSTOMER USE ONLY		<input type="checkbox"/> WAIVER OF SIGNATURE (Domestic only) Additional merchandise insurance is void if waiver of signature is requested.	
METHOD OF PAYMENT: Express Mail Corporate Acct. No. 0021569		<input type="checkbox"/> NO DELIVERY <input type="checkbox"/> Weekend <input type="checkbox"/> Holiday	
Federal Agency Acct. No. or Postal Service Acct. No. 002199654		Customer Signature	

FROM: (PLEASE PRINT) SAMUEL'S GAUTHIER & STEVENS 225 FRANKLIN ST STE 3300 BOSTON MA 02110-2898 MEG/ead 5578	TO: (PLEASE PRINT) Assistant Commissioner of Patents Washington, D.C. 20231 BOX PATENT APPLICATION
---	---

PRESS HARD. You are making 3 copies. FOR PICKUP OR TRACKING CALL 1-800-222-1811 www.usps.gov **EMS**

IT 00001

NEW APPLICATION TRANSMITTAL

Transmitted herewith for filing is the patent application of:

Inventor(s): Robert E. Rafferty

For (title): METER BOX LOCK ASSEMBLY

1. Type of Application

☒ Utility
☐ Design

2. Small Entity

☒ Yes
☐ No

3. Benefit of Prior U.S. Application(s) Under 35 U.S.C. §120

This application is a:

☐ Divisional
☐ Continuation
☐ Continuing Patent Application (CPA)
☐ Continuation-in-part (CIP),

and hereby claims benefit under 35 U.S.C. §120 to the following applications:

SERIAL NUMBER	FILING DATE

4. Benefit of Non-U.S. Application Under 35 U.S.C. §119(a)-(d)

This application claims priority under 35 U.S.C. §119(a)-(d) to the following foreign application(s) and/or inventor certificate(s):

COUNTRY	APPLN. NUMBER	FILING DATE
None		

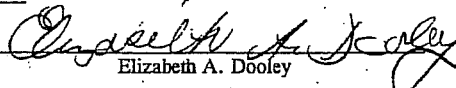
Certified copy(ies) of the application(s) and/or inventor certificate's from which priority is claimed:

☐ is(are) attached;
☐ will follow.

CERTIFICATE OF EXPRESS MAIL UNDER 37 C.F.R. §1.10

I hereby certify that this New Application Transmittal and the documents referred to as enclosed therein are being deposited with the United States Postal Service February 28, 2001 in an envelope as "Express Mail Post Office to Addressee" Mailing Label Number _____ addressed to the: Assistant Commissioner of Patents, Washington, D.C. 20231.

EL597940815US


Elizabeth A. Dooley

5. Benefit of Provisional Application Under 35 U.S.C. §119(e)

This application claims priority to the following provisional application(s):

SERIAL NUMBER	FILING DATE
None	

6. Papers Enclosed Which Are Required For Filing Date Under 37 C.F.R. §1.5311 Pages of Specification, including claims and abstract5 Sheets of Drawing**7. Additional Papers Enclosed**

- ☐ Declaration and Power of Attorney
- ☐ Preliminary Amendment
- ☐ Information Disclosure Statement (37 CFR 1.98), Form PTO-1449 and a copy of each cited reference
- ☐ Assignment and Form PTO-1595
- ☐ Declaration of Biological Deposit
- ☐ Submission of "Sequence Listing" computer readable copy and/or amendment pertaining thereto for biotechnology invention containing nucleotide and/or amino acid sequences.
- ☐ Other _____

8. Application Filing Fee Calculation**A.** ☒ Utility Application**FEE CALCULATION:**

Total Claims: 9 - 20 = 0 × \$18 = \$

Independent Claims: 1 - 3 = 0 × \$80 = \$

Basic Fee:\$710.00

Multiple-Dependent-Claim Fee :\$270.00

Total of the Above Calculations: \$980.00

- ☐ Amendment canceling extra claims enclosed.
- ☐ Amendment deleting multiple dependencies enclosed.
- ☐ Fee for extra claims is not being paid at this time.

B. ☐ Design application - \$320 \$

Application Filing Fee Sub-Total \$

C. ☒ Less 50% reduction for small entity \$490.00

D. ☐ Non-English Specification - \$130 \$

TOTAL FILING FEE \$490.00

9. Payment

☐

Enclosed

☐

Check in the amount of the Total Filing Fee set forth above.

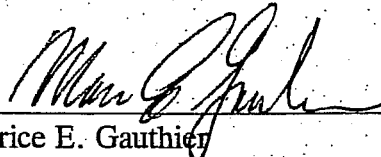
☐

Charge Account No. 19-0079 in the amount of Total Filing Fee set forth above. A duplicate of this transmittal is attached.

☒

Not Enclosed

Respectfully submitted,



Maurice E. Gauthier

Reg. No. 20,798

Samuels, Gauthier & Stevens LLP

225 Franklin Street, Suite 3300

Boston, MA. 02110

(617) 426-9180, Ext. 113

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

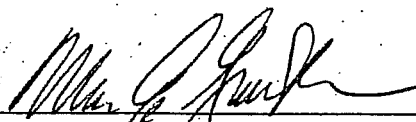
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

REQUEST AND CERTIFICATION UNDER 35 U.S.C. 122(b)(2)(B)(i)	First Named Inventor		Robert E. Rafferty-
	Title	METER BOX LOCK ASSEMBLY	
	Atty Docket Number		5578

I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).

2/28/2001

Date



Signature

Maurice E. Gauthier

Typed or printed name

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b); the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**

Burden Hour Statement: This collection of information is required by 37 CFR 1.213(a). The information is used by the public to request that an application not be published under 35 U.S.C. 122(b) (and the PTO to process that request). Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This form is estimated to take 6 minutes to complete. This time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner of Patents, Washington, DC 20231.**

PATENT APPLICATION
OF
ROBERT E. RAFFERTY
FOR
METER BOX LOCK ASSEMBLY

BACKGROUND OF THE INVENTION

1. Field of the Invention

This invention relates generally to electric meter boxes and other like utility equipment enclosures, and is concerned in particular with an improved lock assembly for preventing unauthorized access to the interiors of such boxes.

2. Description of the Prior Art

It is known to provide lock assemblies with exterior caps having lips that overlap and thus prevent unauthorized opening of meter box covers. Many of those lock assemblies, such as for example those described in U.S. Patent No. 4,107,959 (Skarzynski et al.); 4,120,182 (Michelman et al.); 4,144,729 (Nielsen); 4,475,365 (Swisher); and 5,315,849 (Georgopoulos) are fixed in place by means of bolts extending through holes in the side walls of the meter boxes. This complicates installation, requiring the use of hand tools to drill or punch out the required bolt holes, and requires workmen to reach into the box interiors to tighten the bolts during installation.

Other lock assemblies, such as those disclosed in U.S. Patent Nos. 4,031,732 (Michelman et al.); 4,080,811 (Nielsen) and 4,096,718 (Michelman et al.) avoid piercing the meter box side walls, relying instead on mounting brackets that overlap the upper edges of the side walls and that are secured in place by retaining screws bearing directly against the interiors of the side walls. Experience has shown, however, that the retaining screws are vulnerable to being bent or frictionally dislodged when external components of the lock assemblies are hammered, pried or otherwise forced by those seeking to gain unauthorized

access to the box interiors. The Mounting brackets are thus loosened and ultimately disengaged from the box side walls, resulting in failure of the lock assemblies.

Attempts to force the lock assemblies can also overly stress and thus defeat the barrel locks used to interconnect lock assembly components.

5 The objective of the present invention is to avoid the above-noted problems by providing an improved lock assembly that is easy to install without having to employ tools to drill, punch or otherwise breach the side wall of the meter box, and that once installed, is highly resistant to being dislodged or otherwise compromised by those seeking to gain unauthorized access to the box interior.

10 SUMMARY OF THE INVENTION

The lock assembly of the present invention is designed for use on an electric meter box
15 or other like enclosure having a bottom wall, a side wall, and a cover that may be opened to gain access to the box interior, and that when closed, overlaps an upper edge of the side wall. The lock assembly includes a mounting bracket having first and second mutually spaced flanges integrally joined by an intermediate web. A jaw is mechanically interengaged with and carried by the mounting bracket for movement between the first and second flanges. The
20 bracket is configured and dimensioned for mounting on the side wall, with its intermediate web interposed between the cover and the upper edge of the side wall, and with its first flange and the movable jaw located respectively adjacent exterior and interior surfaces of the side wall. A manually adjustable device, for example a screw, is threaded through the second flange and

serves to secure the bracket in place by urging the jaw towards the first flange to clamp the box side wall therebetween. A cap with a lip overlapping the cover coacts in interlocked engagement with the thus secured bracket.

These and other features and advantages of the present invention will now be described
5 in greater detail with reference to the accompanying drawings, wherein:

BRIEF DESCRIPTION OF THE DRAWINGS

10 Figure 1 is a perspective view, with portions broken away, of a conventional meter box employing a lock assembly in accordance with the present invention;

Figure 2 is a sectional view on an enlarged scale taken along lines 2-2 of Figure 1;

Figure 3 is an exploded perspective view of the basic components making up the lock assembly shown in Figure 1 and 2;

15 Figure 4 is a sectional view similar to Figure 2 showing an alternative embodiment of a lock assembly in accordance with the present invention;

Figures 5A and 5B illustrate a further embodiment of a locking mechanism for securing the mounting bracket to the side wall of the meter box; and

Figures 6A and 6B are views similar to Figures 5A and 5B showing still another
20 embodiment of a locking mechanism for the mounting bracket.

DESCRIPTION OF PREFERRED EMBODIMENTS

Referring initially to Figures 1 and 2, a conventional electric meter box is shown at 10. The meter box includes a bottom wall 12, a side wall 14, and a cover 16. The side wall has a stepped configuration defining an angled ledge 18 spaced beneath the upper edge 20. The rear edge of the cover is overlapped by and captured beneath a lip 22 formed integrally with the side wall. The box encloses an electric meter (not shown) having a glass dome 24 protruding through an opening in the cover. As can best be seen in Figure 2, the cover 16 is dimensioned to overlap the upper edge 20 of the side wall 14, with a peripheral lip 16a arranged to surround the top edge when the cover is in its closed position. A lock assembly 26 in accordance with one embodiment of the present invention serves to retain the cover in its closed position.

With further reference to Figure 3, it will be seen that the lock assembly includes a mounting bracket 28 having first and second mutually spaced and angularly disposed flanges 30, 32 integrally joined by an intermediate web 34. A third flange 36 is formed integrally with and projects laterally from the first flange 30.

A jaw 38 has a stepped cross sectional configuration with angularly disposed flanges 40, 42 joined by a web 44. Teeth 46 project from one side of the web 44, and the flange 42 is cut away as at 48 to provide arms configured to interengage mechanically with notches in the sides of the flange 32 on mounting bracket 28.

A threaded boss 50 on flange 32 of the mounting bracket 28 accepts a manually adjustable thumb screw 52. The bracket 28 is configured for mounting on the side wall 14 of the meter box 10, with the intermediate web 34 extending over the upper edge 20 of the side wall, and with the first flange 30 of the bracket and the jaw 38 respectively located adjacent

exterior and interior surfaces of the side wall. By manually tightening the thumb screw 52, the jaw is pivoted in a clockwise direction (as viewed in Figure 2), causing the teeth 46 to engage the interior surface of the side wall beneath the angled ledge 18. The side wall is thus securely clamped between the first bracket flange 30 and the jaw 38. The angled orientation of the second bracket flange 32 and the resulting upward projection of the thumb screw 52 makes it possible for bracket mounting to be accomplished without having to reach into the interior of the meter box.

After the mounting bracket 28 has been secured to the box side wall, the cover is closed. A cap 54 is then employed to maintain the cover in its closed position. The cap has an externally projecting integral lip 56 and an internal recess 58 extending horizontally across a vertical blind bore 60. The recess 58 is configured to receive the third flange 36 of the mounting bracket 28, with the blind bore 60 aligned with an aperture 62 in the third flange.

A conventional barrel lock 64 is received in the bore 60 and aligned aperture 62, thus serving to mechanically interlock the cap 54 to the third flange 36, with the lip 56 of the cap overlapping the box cover 16. Optionally, the upper end of the barrel lock may be recessed within a protective ferrule 66 received in an enlarged diameter upper end of the blind bore 60.

In the alternative embodiment disclosed in Figure 4, the mounting bracket 28a again includes first and second flanges 30a, 32a joined by an intermediate web 34a. But here, the flanges 30a, 32a are arranged in parallel, resulting in the thumb screw 52 projecting horizontally into the box interior. Also, the jaw 38a is configured and arranged to be urged by the thumb screw 52 into horizontal sliding movement and into engagement with the interior surface of the box wall, again beneath the angled ledge 18.

The blind bore 60a of the cap 54a is separated from the recess 58a by an internal shelf 68 having an aperture 70 extending vertically therethrough. The aperture 70 is aligned with a threaded bore 62a in the third flange 36a of the bracket 28a, and a screw 72 extends through the shelf aperture 70 into threaded engagement with the threaded bore 62a in the third flange 36a to effect mechanical interengagement of the cap 54a with the mounting bracket 28a.

A sleeve 74 is secured, as for example by press fitting, into the vertical bore 60a. The sleeve cooperates with the barrel lock 64 to block access to the screw 72.

Force exerting means other than the thumb screws 52 shown in Figures 2-4 may be employed to urge the jaws 38, 38a against the interior surfaces of the box walls. For example, as shown in Figures 5A and 5B, the second flange 32b of the bracket 28b may be equipped with a rotatable cam 76 operated by means of a handle 78. When unlocked, as shown in Figure 5A, the cam allows freedom of movement of the jaw 38b relative to the bracket flanges 30a, 32b to thereby accommodate mounting of the bracket on the box side wall.

The bracket may then be locked in place by depressing the handle 78, as shown in Figure 5B, to rotate the cam 76 against the jaw 38b, thus urging the jaw into its locked position.

In the embodiment shown in Figures 6A and 6B, the mounting bracket 28b also includes first and second flanges 30b, 32b joined by an intermediate web 34b. Flange 32b carries a cam 80 rotatable about an axis "A". A force exerting means in the form of a spring 82 resiliently urges the cam to rotate in a counterclockwise direction. In Figure 6A, the cam has been rotated in a clockwise direction against the biasing action of the spring and into an open position to accommodate mounting of the bracket on the side wall 14 of the meter box. In Figure 6B, the cam has been released, and the biasing action of the spring has caused the

cam to rotate in a counterclockwise direction, bringing the toothed periphery 84 of the cam into engagement with the interior surface of the box side wall 14 beneath the angled ledge 18.

In light of the foregoing, it will now be appreciated by those skilled in the art that the present invention offers a number of significant advantages as compared to known prior art lock assemblies.

For example, the lock assembly may be installed without having to drill, punch or otherwise breach the side wall of the meter box. Installation can be readily accomplished without having to employ tools such as drills, punches and the like.

The interposition of a movable jaw between the interior box side wall and the force exerting means (thumb screw 52, cams 76, 80 or the like) insures that the force exerting means is safeguarded from being bent or frictionally dislodged by stresses resulting from attempts to defeat the lock assembly by hammering, prying or otherwise forcing the external cap. Such stresses are absorbed by the external cap and the mounting bracket, leaving the barrel lock largely unaffected.

We claim:

1 1. For use in combination with an electric meter box or other like enclosure having
2 a bottom, a side wall, and a cover which may be opened to gain access to the interior of the
3 box, and which when closed, overlaps an upper edge of the side wall, a lock assembly for
4 maintaining the cover in its closed position, said lock assembly comprising:

5 a bracket having first and second mutually spaced flanges integrally joined by an
6 intermediate web;

7 a jaw mechanically interengaged with and carried by said bracket for movement
8 between said first and second flanges, said bracket being configured for removable mounting
9 on said side wall, with said intermediate web interposed between said cover and the upper edge
10 of said side wall, and with said first flange and said jaw respectively located adjacent exterior
11 and interior surfaces of said side wall;

12 force exerting means for urging said jaw towards said first flange to thereby clamp said
13 side wall therebetween;

14 a cap having a lip configured and dimensioned to overlap said cover; and

15 interlocking means for securing said cap to said bracket.

1 2. The lock assembly of claim 1 wherein the side wall of said box is provided with
2 an interior ledge spaced below said upper edge, and wherein said jaw engages said side wall
3 beneath said ledge.

1 3. The lock assembly of claims 1 or 2 wherein said jaw includes at least one tooth
2 engageable with said side wall.

1 4. The lock assembly of claim 1 wherein said force exerting means comprises a
2 screw threaded through said second flange.

1 5. The lock assembly of claim 4 wherein said jaw includes a plurality of teeth
2 engageable with said side wall, said teeth being arranged on opposite sides of the axis of
3 rotation of said screw.

1 6. The lock assembly of claim 1 wherein said jaw is pivotally connected to said
2 second flange.

1 7. The lock assembly as claimed in claim 1 wherein said second flange is inclined
2 at an acute angle with respect to said first flange.

1 8. The lock assembly as claimed in claim 1 wherein said bracket is provided with a
2 third flange projecting from said first flange, and wherein said interlocking means engages said
3 third flange.

ABSTRACT

A lock assembly for use in combination with an electric meter box or other like enclosure having a bottom, a side wall, and a cover which may be opened to gain access to the interior of the box, and which when closed, overlaps an upper edge of the side wall. The lock assembly includes a bracket having first and second mutually spaced flanges integrally joined by an intermediate web. A jaw is mechanically interengaged with and carried by the bracket for movement between its flanges. The bracket is configured for removable mounting on the side wall, with its intermediate web interposed between the cover and the upper edge of the side wall, and with the first flange and the jaw respectively located adjacent exterior and interior surfaces of the side wall. The jaw is urged towards the first flange to clamp the side wall therebetween, and a cap is secured to the bracket. The cap has a lip configured and dimensioned to overlap and maintain the cover in a closed position.

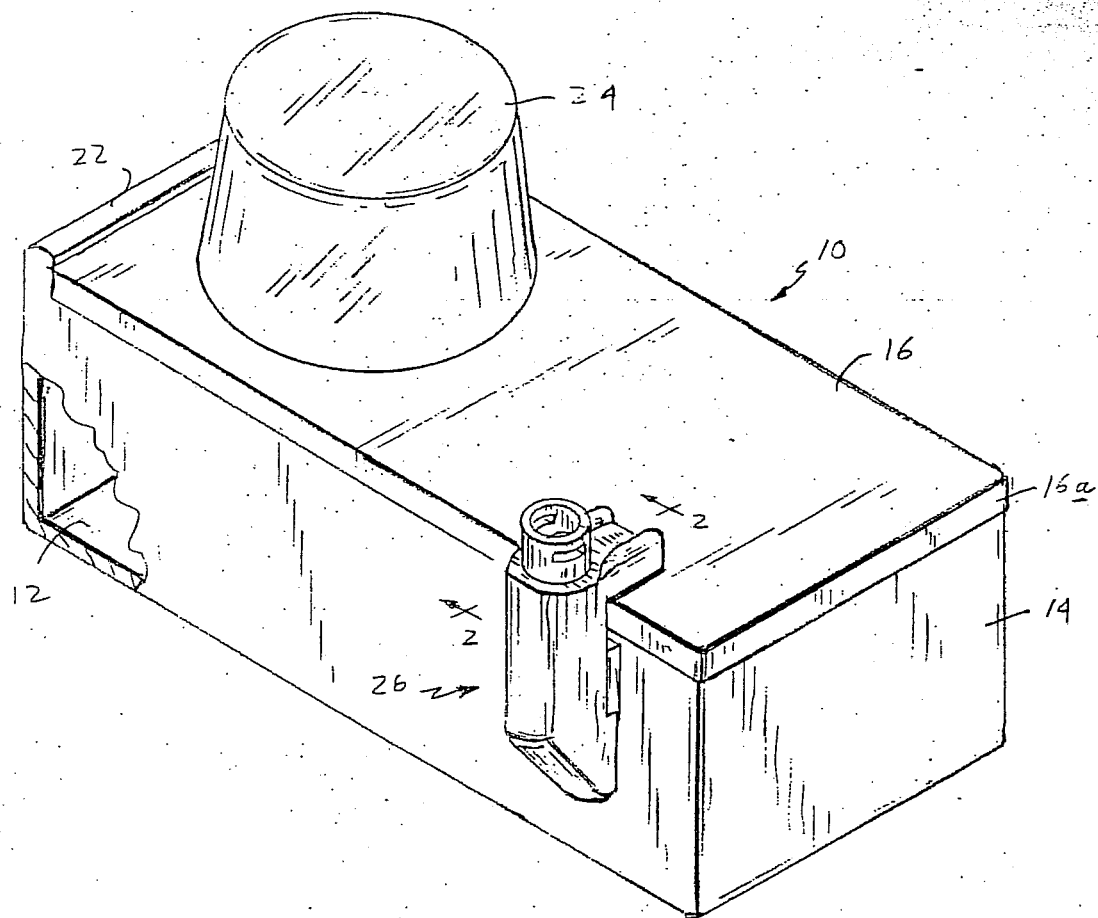
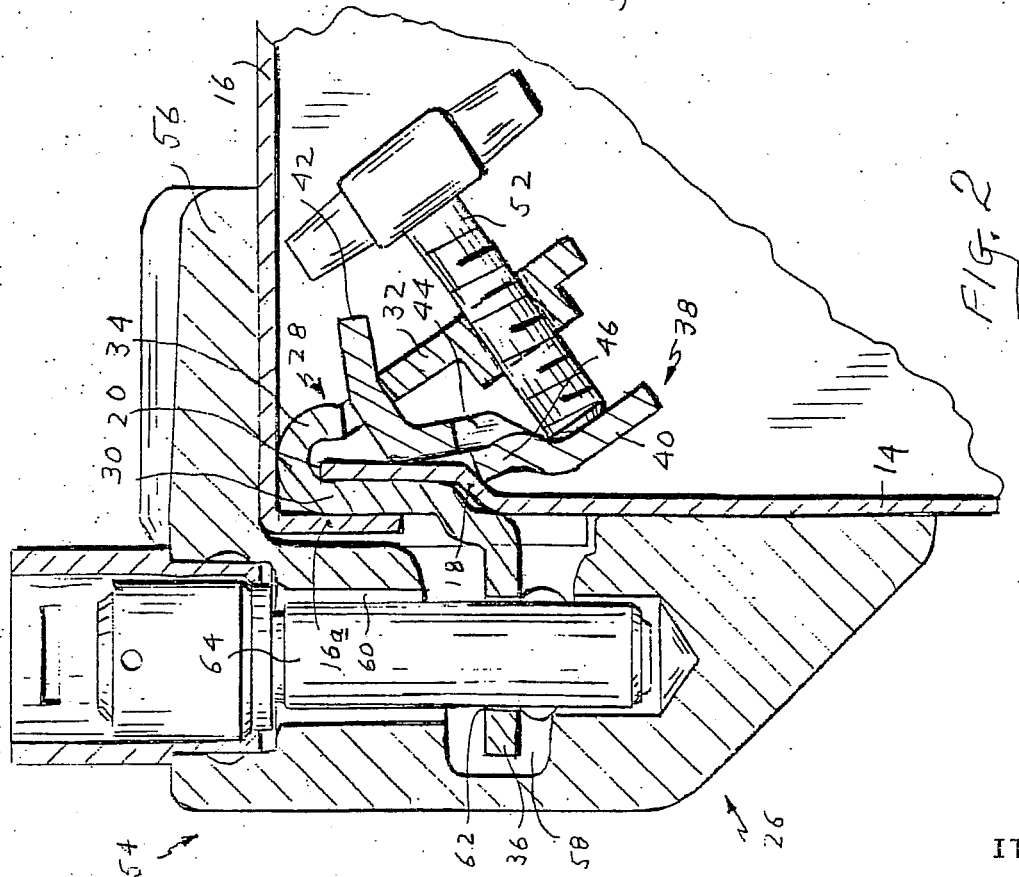
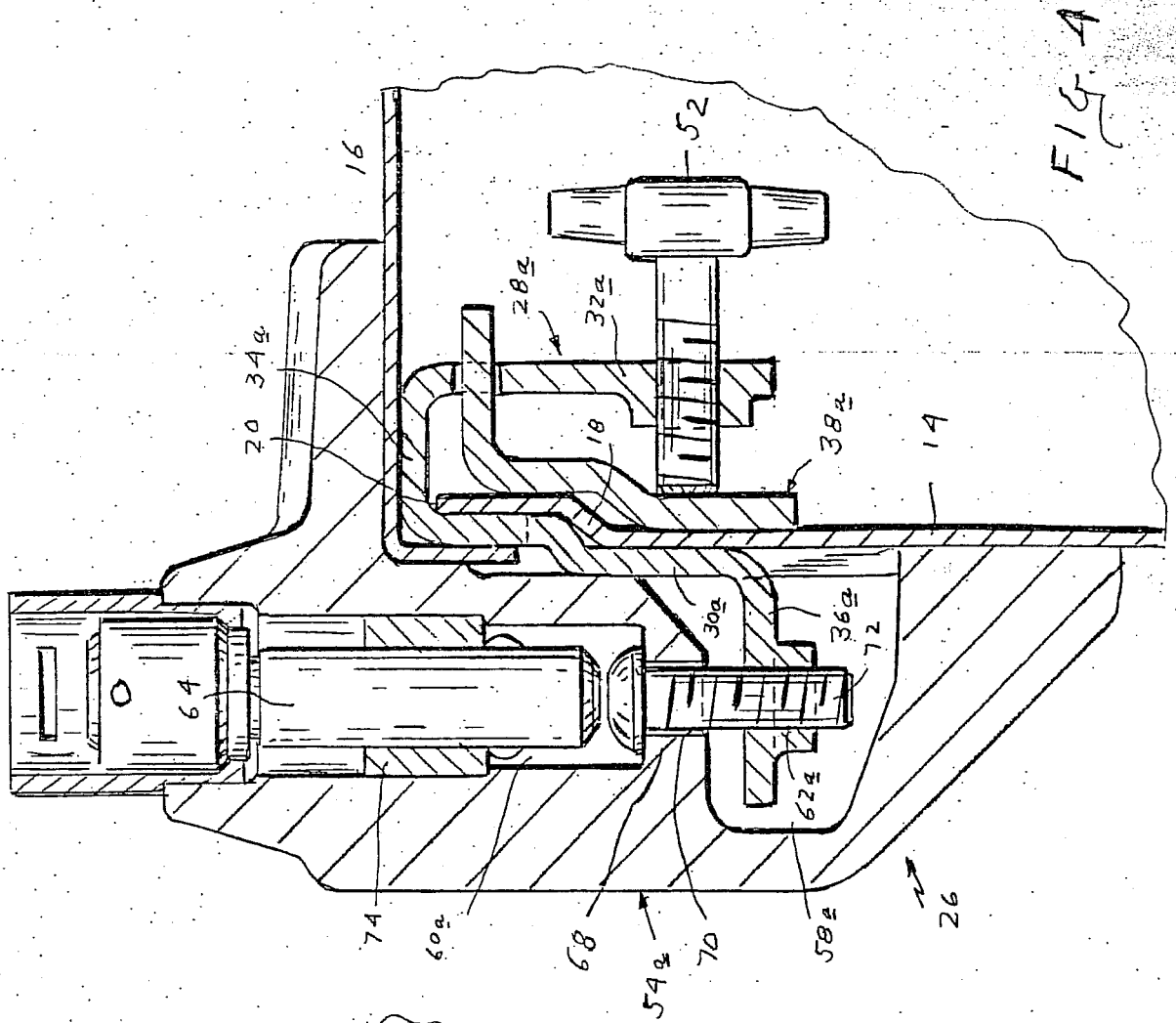
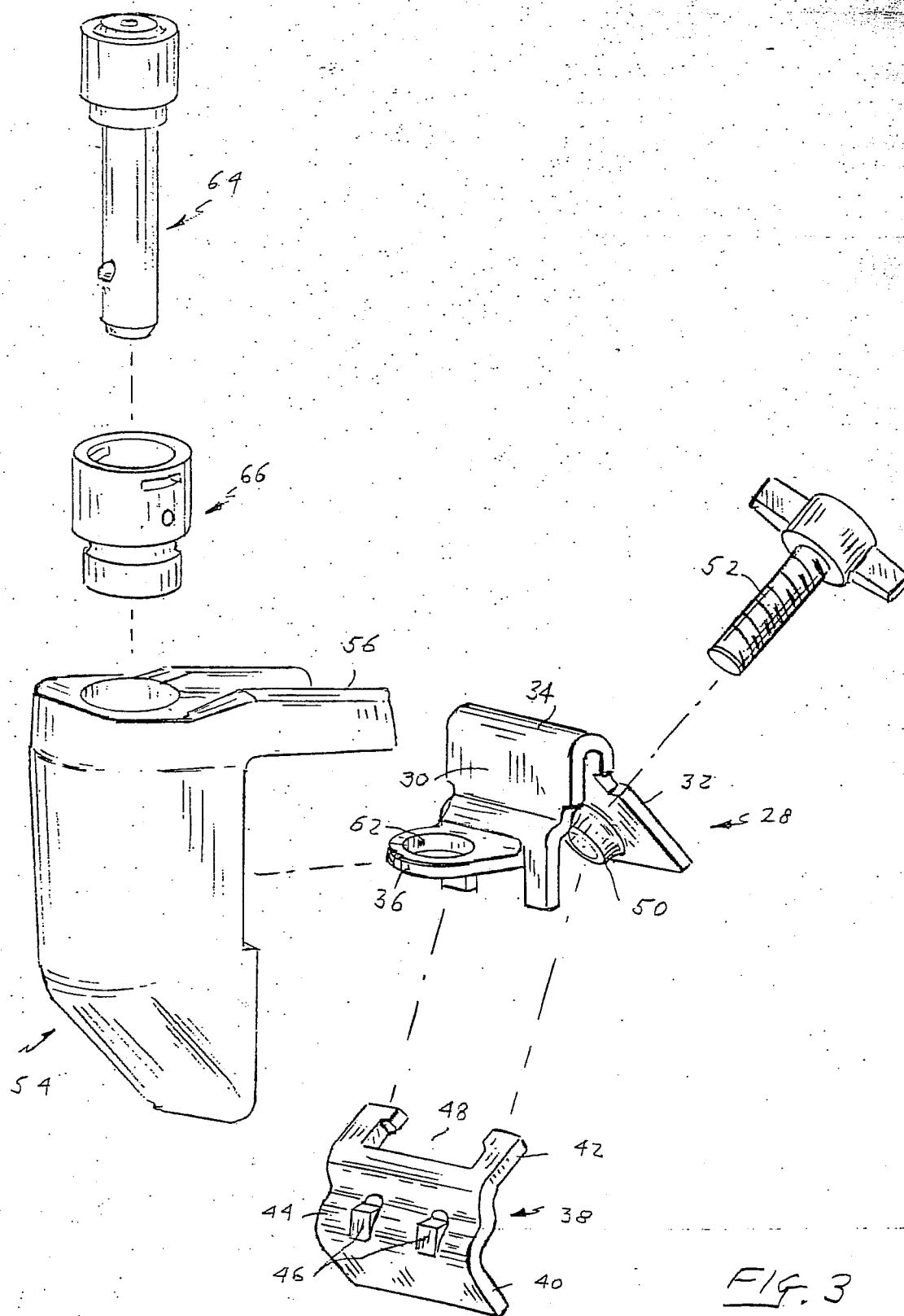
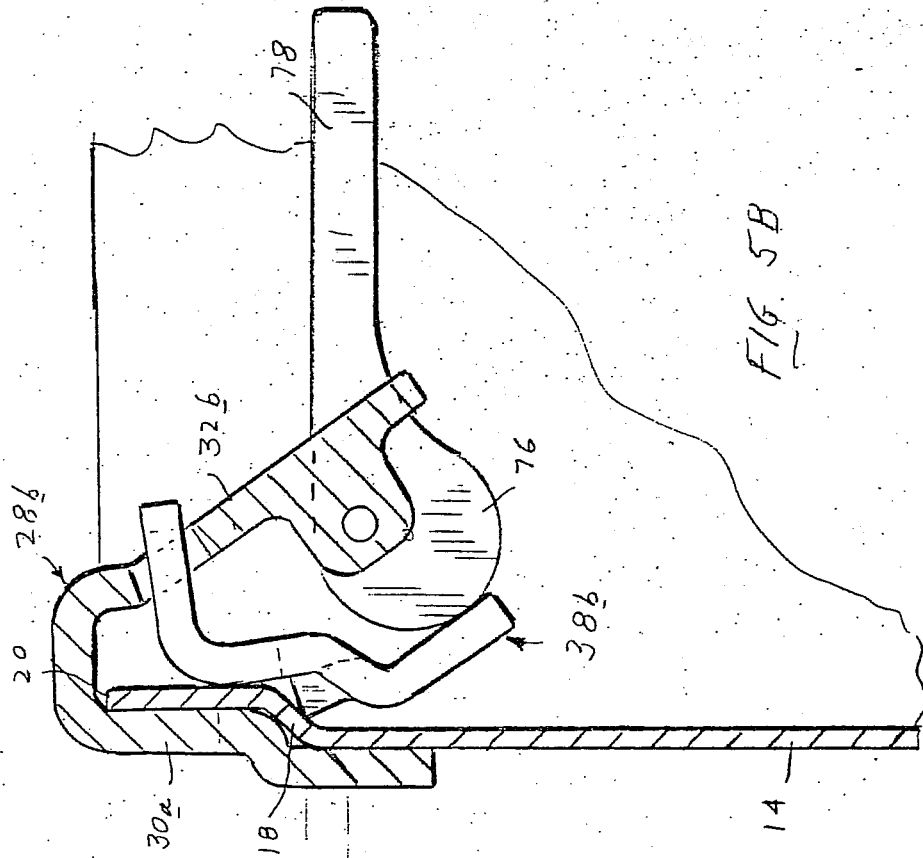
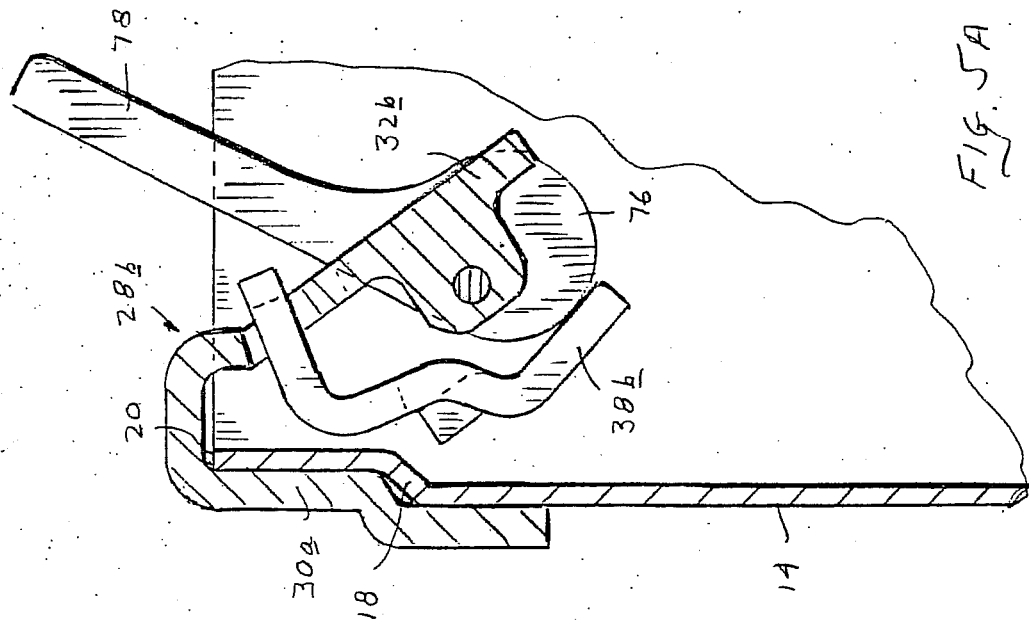
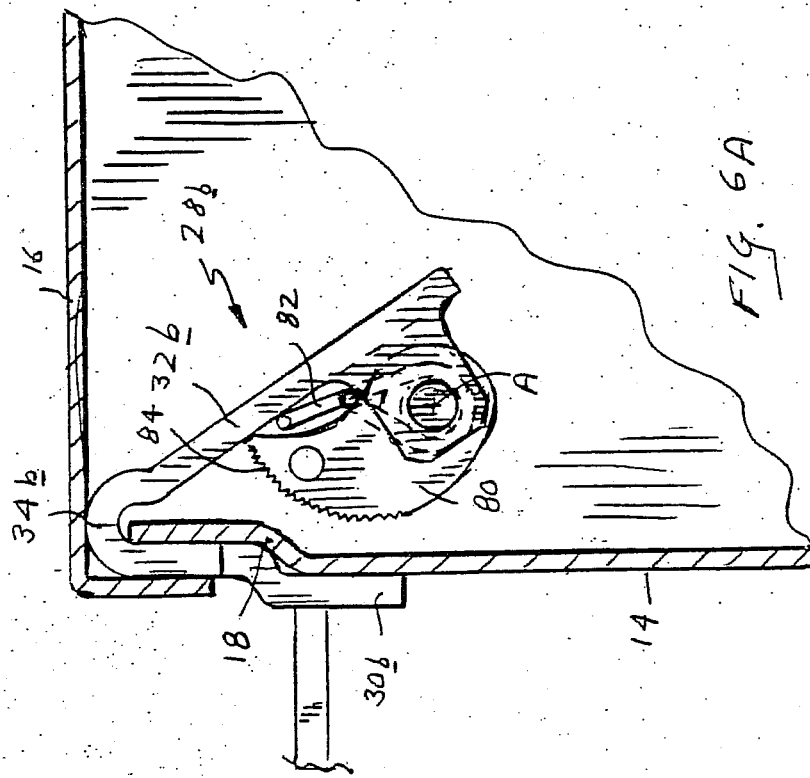
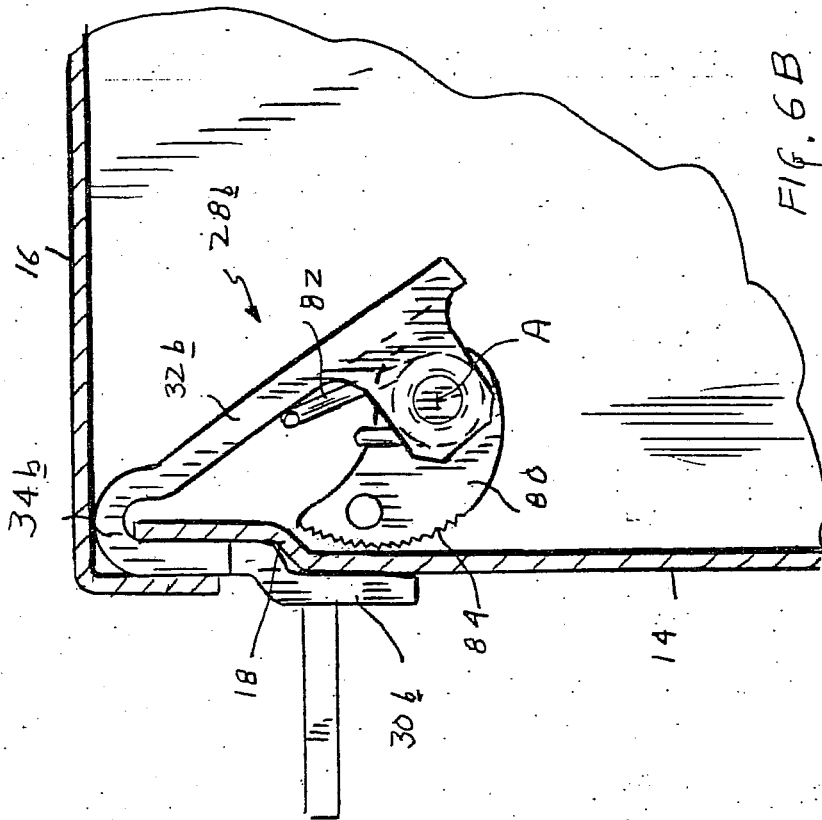


FIG. 1











UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/795,701	02/28/2001	Robert E. Rafferty	5578

CONFIRMATION NO. 5950

FORMALITIES LETTER



OC00000005971647

Samuels, Gauthier & Stevens LLP
225 Franklin Street, Suite 3300
Boston, MA 02110

Date Mailed: 04/16/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 355 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).
- Total additional claim fee(s) for this application is \$135.
 - \$135 for multiple dependent claim surcharge.
- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 555.

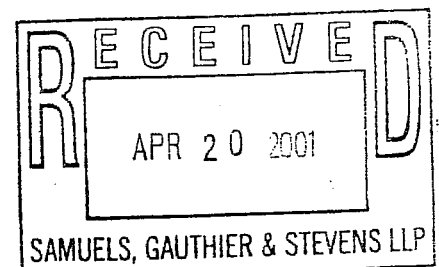
*A copy of this notice **MUST** be returned with the reply.*

Teresa S. ...
Customer Service Center

Initial Patent Examination Division (703) 308-1202

MEG DOCKETING

PART 1 - ATTORNEY/APPLICANT COPY

Action *Missing Parts Deadline*Docket Date *6/16/01* *10/16/01*Docket By *...*

IT 00022



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/795,701	02/28/2001	3627	0.00	5578	5	8	1

CONFIRMATION NO. 5950

FILING RECEIPT



OC00000005971646

Samuels, Gauthier & Stevens LLP
225 Franklin Street, Suite 3300
Boston, MA 02110

Date Mailed: 04/16/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. **If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).**

Applicant(s)

Robert E. Rafferty, Residence Not Provided;

Domestic Priority data as claimed by applicant

Foreign Applications

If Required, Foreign Filing License Granted 04/14/2001

Projected Publication Date: Request for Non-Publication Acknowledged

Non-Publication Request: Yes

Early Publication Request: No

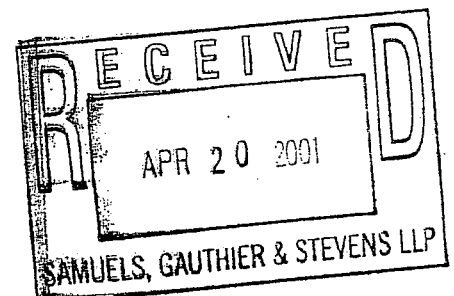
** SMALL ENTITY **

Title

Meter box lock assembly

Preliminary Class

070



DOCUMENT

IT 00023

Data entry by : PETROS, ZENEBECH

Team : OIPE

Date: 04/16/2001



**LICENSE FOR FOREIGN FILING UNDER
Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15**

GRANTED

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 36 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15 (b).

PLEASE NOTE the following information about the Filing Receipt:

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 600 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."
- The title is recorded in sentence case.

Any corrections that may need to be done to your Filing Receipt should be directed to:

Assistant Commissioner for Patents
Office of Initial Patent Examination
Customer Service Center
Washington, DC 20231

Mailed on May 10, 2001

5578

Enclosed are the following in re:
Patent Appln. of Robert E. Rafferty
Serial No.: 09/795,701
Filed: February 28, 2001

METER BOX LOCK ASSEMBLY

- 1) Information Disclosure Statement
- 2) Form PTO-1449

Mailed on May 10, 2001

Enclosed are the following in re:
Patent Appln. of Robert E. Rafferty
Serial No.: 09/795,701
Filed: February 28, 2001

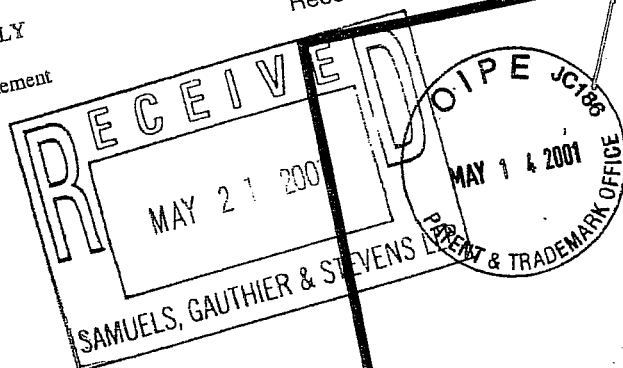
METER BOX LOCK ASSEMBLY

- 1) Information Disclosure Statement
- 2) Form PTO-1449
- 3) Copies of cited references

Due Date: May 28, 2001

MEG/ead

This Paper Was
Received By PTO On:



IT 00027

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT: Robert E. Rafferty GROUP: Unknown
SERIAL NO: 09/795,701 EXAMINER: Unknown
FILED: 02/28/01
FOR: METER BOX LOCK ASSEMBLY

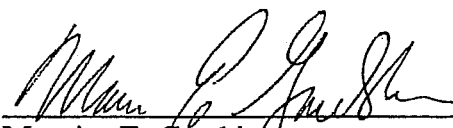
Assistant Commissioner of Patents
Washington, D.C. 20231

Sir:

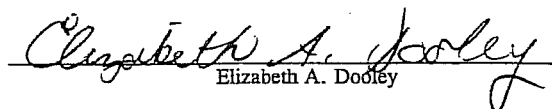
INFORMATION DISCLOSURE STATEMENT

In compliance with 37 CFR §§1.56, 1.97, and 1.98, Applicant submits copies of the documents listed on the attached Form PTO-1449.

Respectfully submitted,


Maurice E. Gauthier
Registration No. 20,798
Samuels, Gauthier & Stevens
225 Franklin Street, Suite 3300
Boston, Massachusetts 02110
Telephone: (617) 426-9180
Extension 113

I hereby certify that this paper (along with any paper referred to as being attached or enclosed) is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to the Assistant Commissioner of Patents, Washington, D.C. 20231.


Elizabeth A. Dooley

5/10/01
Date

IT 00028

FORM PTO-1449 SAMUELS, GAUTHIER & STEVENS
(Rev. 5/92) 225 Franklin Street, Boston, MA 02110
Telephone: (617) 426-9180

ATTORNEY DOCKET NO. 5578

SERIAL NO. 09/795,701

Robert E. Rafferty
APPLICANT

Unknown
GROUP

02/28/01
FILING DATE

Unknown
EXAMINER

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	1,053,328	02/18/13	T. Suters			
	AB	1,343,851	06/15/20	H.H. Roe			
	AC	1,554,958	09/22/25	M. Falk			
	AD	3,088,560	05/07/63	F.W. Preuss			
	AE	3,181,319	05/04/65	M. A. Hudon			
	AF	3,431,004	03/04/69	J.E. Schell			
	AG	3,867,822	02/25/75	Morse et al.			
	AH	3,938,839	02/17/76	Collier.			
	AI	4,031,722	06/28/77	Michelman et al.			
	AJ	4,080,811	03/28/78	Nielsen, Jr.			
	AK	4,096,718	06/27/78	Michelman et al.			
	AL	4,107,959	08/22/78	Skarzynski et al.			
	AM	4,120,182	10/17/78	Michelman et al.			
	AN	4,144,729	03/20/79	Nielsen, Jr.			
	AO	4,254,647	03/10/81	Finck, Jr.			
	AP	4,326,395	04/27/82	DeRosa			
	AQ	4,414,829	11/15/83	Neilsen, Jr. et al.			
	AR	4,475,365	10/09/84	Swisher			
	AS	4,551,999	11/12/85	Guiler			
	AT	4,986,096	01/22/91	Soehner et al.			
	AU	5,007,258	04/16/91	Mahaney			
	AV	5,315,849	05/31/948	Georgeopoulos			
	AW	5,870,911	02/16/99	DeWalch			

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

CHECK-TOTAL 555.00

THE FACE OF THIS DOCUMENT HAS A COLORED BACKGROUND ON WHITE PAPER

SAMUELS, GAUTHIER & STEVENS LLP
225 FRANKLIN STREET - SUITE 3300
BOSTON, MASS. 02110

CITIZENS BANK
MASSACHUSETTS
MEMBER FDIC

5-7017/2110

05/17/01 005478

5478

FIVE HUNDRED FIFTY-FIVE AND 00/100 DOLLARS***** \$*****555.00

Commissioner of Patents

Matthew G. Conner MP

SECURITY FEATURES INCLUDED. DETAILS ON BACK.

005478 211070175 1107848420

Mailed on May 21, 2001

Enclosed are the following in re:
Patent Appln. of Robert E. Rafferty
Serial No.: 09/795,701
Filed: February 28, 2001

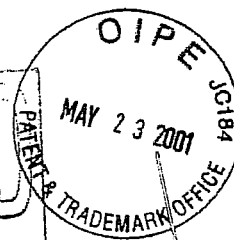
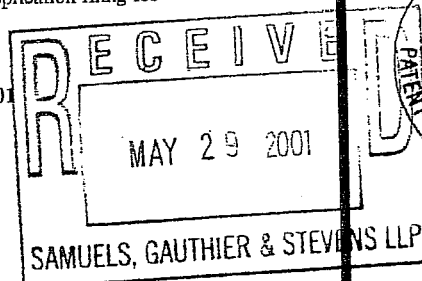
METER BOX LOCK ASSEMBLY

- 1) Copy of Notice to File Missing Parts
- 2) Completion of Filing Requirements Letter
- 3) Declaration and Power of Attorney
- 4) \$555.00 check for application filing fee and surcharge

Due Date: June 16, 2001

MEG/ead

This Paper Was
Received By PTO On:



IT 00030

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT: Robert E. Rafferty GROUP: Unknown
SERIAL NO: 09/795,701 EXAMINER: Unknown
FILED: 02/28/01
FOR: METER BOX LOCK ASSEMBLY

Box Missing Parts
Assistant Commissioner of Patents
Washington, D.C. 20231
Attn: Application Division

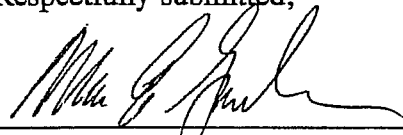
Sir:

COMPLETION OF FILING REQUIREMENTS

In response to the Notice to File Missing Parts of Application mailed on April 16, 2001, a copy of which is enclosed, we enclose herewith the Declaration and Power of Attorney. Also enclosed is a check for \$555.00 to cover application filing fee and surcharge.

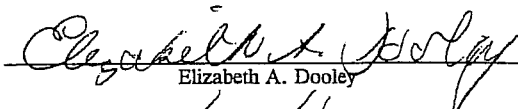
The Commissioner is authorized to charge Deposit Order Account No. 19-0079 for any further extension and/or fee that is required.

Respectfully submitted,



Maurice E. Gauthier
Registration No. 20,798
Samuels, Gauthier & Stevens LLP
225 Franklin Street, Suite 3300
Boston, Massachusetts 02110
Telephone: (617) 426-9180
Extension 113

I hereby certify that this paper (along with any paper referred to as being attached or enclosed) is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to the Assistant Commissioner of Patents, Washington, D.C. 20231, Attn: Application Division.



Elizabeth A. Dooley
5/20/01
Date

IT 00031



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/795,701	02/28/2001	Robert E. Rafferty	5578

CONFIRMATION NO. 5950

FORMALITIES LETTER



OC000000005971647

Samuels, Gauthier & Stevens LLP
225 Franklin Street, Suite 3300
Boston, MA 02110

Date Mailed: 04/16/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 355 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).
- Total additional claim fee(s) for this application is \$135.
 - \$135 for multiple dependent claim surcharge.
- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 555.

*A copy of this notice **MUST** be returned with the reply.*

Zene Sack Retire
Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

IT 00032

DECLARATION AND POWER OF ATTORNEY

I, the below named inventor, hereby declare that:

My residence, post office address, and citizenship are as stated below next to my name.

I believe I am the original, first, and sole inventor of the subject matter which is claimed and for which a patent is sought on the invention entitled **METER BOX LOCK ASSEMBLY**, the specification of which was filed with the United States Patent and Trademark Office on February 28, 2001, as Serial No. 09/795,701.

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability in accordance with Title 37, Code of Federal Regulations, Section 1.56.

I hereby declare that all statements made herein based on my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

And I hereby appoint:

Maurice E. Gauthier	-	Reg. No. 20,798
Richard L. Stevens	-	Reg. No. 24,445
Matthew E. Connors	-	Reg. No. 33,298
William E. Hilton	-	Reg. No. 35,192
Patrick J. O'Shea	-	Reg. No. 35,305
Arlene J. Powers	-	Reg. No. 35,985
Richard L. Stevens, Jr.	-	Reg. No. 44,357

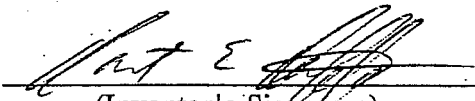
all of the firm of Samuels, Gauthier & Stevens, our attorneys with full power of substitution and revocation, to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith.

I request that all correspondence be directed to:

Samuels, Gauthier & Stevens, LLP
225 Franklin Street, Suite 3300
Boston, Massachusetts 02110

Attn: Maurice E. Gauthier

Robert E. Rafferty
(Full Name of Inventor)


(Inventor's Signature)

05/14/01
(Date)

9 Prouty Lane
Rutland, MA 01543
(Residence)

U.S.
(Citizenship)

Same as Residence
(Post Office Address)